

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 10/618,810
Filed: July 14, 2003
Inventor(s):
Ajay Kumar
Bala Dutt
Venugopal Rao K
Sankara R. Bhogi
Srinivasan Kannan

Title: Read/Write Lock
Transaction Manager
Freezing

§ Examiner: Unknown
§ Group/Art Unit: 2186
§ Atty. Dkt. No: 5681-15200
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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date indicated below.

Robert C. Kowert

Robert C. Kowert June 27, 2005
Signature Date

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant requests consideration of ☒ the references listed on the attached Form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A copy of reference A9-A15, A24-A30 and A35-A37 listed on the Form PTO-1449 is enclosed.

1. This Information Disclosure Statement is submitted:

- a. ☐ within 3 months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
☐ within 3 months of the date of entry of the national stage as set forth in § 1.491 in an International application;
☒ before the mailing date of a first Office Action on the merits; or
☐ before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

- b. ☐ after the events of above paragraph 1a and prior to the mailing date of a final Office Action or Notice of Allowance, and thus: ☐ the certification of paragraph 2 below is provided, or ☐ a fee of \$180.00 is authorized below.
- c. ☐ after the mailing date of a final Office Action or a Notice of Allowance and prior to payment of the issue fee, and thus: the certification of paragraph 2 below is provided and a fee of \$180.00 is enclosed below.

2. It is hereby certified:

- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56 (c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following additional information (including any co-pending or abandoned U.S. applications, prior uses and/or sales, etc.) is requested:

4. For each non-English language reference listed on the attached Form PTO-1449:

- ☐ reference is made to an English language translation submitted herewith, and/or
- ☐ reference is made to a foreign patent office search report (in the English language) submitted herewith, and/or
- ☐ reference is made to an English language translation of a foreign patent office search report submitted herewith, and/or
- ☐ reference is made to the concise explanation contained in the specification of the present application at page(s) _____, and/or
- ☐ reference is made to the concise explanation set forth below:

5. ☐ Applicant also offers the following comments for the Examiner's consideration:

6. ☐ Also enclosed is a copy of a foreign search report citing these references.

7. ☐ The listed documents were brought to the attention of the Applicant(s) after payment of the issue fee in the captioned case. The documents were cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. Applicant(s) request this Information Disclosure Statement and attached Form PTO-1449 be placed in the file of the captioned application.

8. ☐ Applicant(s) requests that the Information Disclosure Statement and attached Form PTO-1449 and references, which are being filed before the grant of the patent and pursuant to 37 C.F.R. § 1.97(i), be placed in the file of the captioned application.

The Commissioner is hereby authorized to charge any fees which may be required or credit any overpayment to Meyertons, Hood, Kivlin, Kowert & Goetzel PC, Deposit Account No. 50-1505/5681-15200/RCK.

Respectfully submitted,

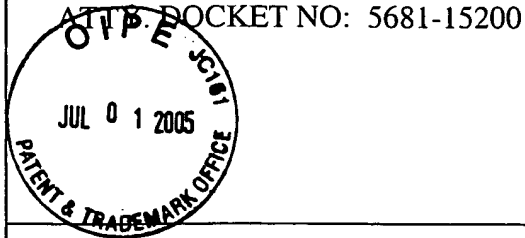


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(512) 853-8800

Date: June 27, 2005

Form PTO-1449 (modified)
List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)



ATTN: DOCKET NO: 5681-15200

SERIAL NO: 10/618,810

APPLICANT: Kumar et al.

FILING DATE: July 14, 2003

GROUP: 2186

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	6,421,688	7/16/02	Song			
	A2	5,504,899	4/2/96	Raz			
	A3	5,504,900	4/2/96	Raz			
	A4	5,701,480	12/23/97	Raz			
	A5	6,442,618	8/27/02	Phillips et al.			
	A6	6,038,587	3/14/00	Phillips et al.			
	A7	2005/0088413	5/6/04	Bhogi et al.			
	A8	2004/0215473	10/28/04	Bhogi et al.			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

A9	Liu et al., "Designing a Test Suite for Empirically-based Middleware Performance Prediction," Australian Computer Society, Inc., (2002), (8 Pages)
A10	"Java™ 2SDK, Enterprise Edition 1.3.1 Configuration Guide," http://java.sun.com/j2ee/sdk_1.3/techdocs/release/ConfigGuide.html , January 3, 2002, (16 Pages)
A11	Ellis et al., "JDBC™ 3.0 Specification – Final Release," Sun Microsystems, Inc., October 2001, (190 pages)
A12	"iPlanet Application Server 6.0 Administration Guide: Chapter 4 Logging Server Messages," http://docs.sun.com/source/816-5720-10/adlog.htm , September 5, 2000, (21 Pages)
A13	"JDBC™ Data Access API – The JDBC API Universal Data Access for the Enterprise," java.sun.com , August 10, 2003, (5 Pages)
A14	"Connection Pooling," Advanced Programming for the Java 2 Platform, August 16, 2002, (4 Pages)
A15	Siva Visveswaram, "Manage Access to Shared, Server-Side Resources for High Performance - Dive Into Connection Pooling with J2EE," JavaWorld, October 2000, (8 Pages)

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

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EXAM. INITIAL S	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A16	2005/0055325	3/10/05	Dutt et al.			
	A17	2005/0066155	3/24/05	Dutt et al.			
	A18	2005/0015425	1/20/05	Kumar et al.			
	A19	2004/0153450	8/5/04	Venugopal Rao K. et al			
	A20	2004/0153383	8/5/04	Venugopal Rao K. et al			
	A21	2004/0153349	8/5/04	Venugopal Rao K. et al			
	A22	2004/0215894	8/5/04	Bhogi et al.			
	A23	2004/0216109	10/28/04	Bhogi et al.			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

A24	"Interface DataSource," DataSource (Java 2 Platform, SE v1.4.1), 2002, (1 Page)
A25	"Initial Context," JNDI 1.2.1 Specification: Class Initial Context, http://java.sun.com/products/jndi/1.2/javadoc/javax/naming/InitialContext.html , July 14, 1999, (1 Page)
A26	"JNDI – Java™ Naming & Directory Interface™", Sun Microsystems, Inc., http://java.sun.com/jndi , May 15, 2003, (2 Pages)
A27	"iPlanet Application Server 6.0 Administration Guide: Chapter 9 Administering Transactions," http://docs.sun.com/source/816-5784-10/adtrans.htm , September 5, 2000, (11 Pages)
A28	Breitbart et al., "Replication and Consistency Being Lazy Helps Sometimes," PODS '97, June 1997, (Pages 173-184)
A29	Patricia Serrano-Alvarado et al. "Mobile Transaction Supports for DBMS". In 17ièmes Journées Bases de Données Avancées, Agadir, Maroc, October 2001, (19 Pages)
A30	Efficient and Flexible Methods for Transient Versioning of Records to Avoid Locking by Read-Only Transactions," 1992 ACM SIGMOD, June 1992, (Pages 124-133)

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.	A31	6,873,995	3/29/05	Benson			
	A32	6,862,573	3/1/05	Kendall et al.			
	A33	6,854,646	2/15/05	Ieshima et al.			
	A34	6,832,238	12/14/04	Sharma et al.			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	A35	BEA WebLogic Enterprise 5.1," BEA Systems, Inc., 2000, (13 Pages)
	A36	"Simplified Guide to the Java TM 2 Platform Enterprise Edition," Sun Microsystems, Inc., 1999, (13 Pages)
	A37	Dogac et al., "METU Interoperable Database System," Demo Description, In Proc. Of ACM Sigmod Intl. Conf. On Management of Data, June 1996, (6 Pages)

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